

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application Number 10,044,519
 Confirmation Number 5137
 Filing Date January 11, 2002
 First Inventor Kenneth C. GRIFFIN
 Group Art Unit 2164 2819
 Examiner Name To Be Assigned
 Attorney Docket No. 04110/00202

Sheet 1 of 1

U.S. PATENT DOCUMENTS

| Examiner Initials | Cite # | DOCUMENT NUMBER | C O D E | PATENTEE | ISSUE DATE (mm/dd/yy) | CLASS | SUB CLASS | Filing Date if Appropriate |
|-------------------|--------|-----------------|---------|------------------|-----------------------|-------|-----------|----------------------------|
| MZ | (2) | 4,933,842 | | Durbin et al. | 06/12/1990 | 364 | 408 | |
| MZ | (3) | 5,193,056 | | Boes | 03/09/1993 | 364 | 408 | |
| MZ | (4) | 5,926,792 | | Koppes et al. | 07/20/1999 | 705 | 4 | |
| MZ | (5) | 5,946,667 | | Tull, Jr. et al. | 08/31/1999 | 705 | 36 | |
| MZ | (6) | 6,088,685 | | Kiron et al. | 07/11/2000 | 705 | 36 | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials | O F F I C E | NUMBER | C O D E | PUBLICATION/ISSUE DATE (mm/dd/yy) | TRANSLATION Yes No |
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |
|--------------------|------------------|--|
| MZ | (1) | Anthony J. Stocks, <u>ACCOUNTING FOCUS</u> , "THE INS AND OUTS OF INCENTIVE FEES", published in 1994, pgs. 6 and 7 |
| MZ | (7) | "J.P. Morgan, Merrill, CSFB Take Stakes in Hedge Site", <u>American Banker</u> , August 15, 2000, vol. 165, issue 156, pg. 8 |
| MZ | (8) | Jenne Mannion, "Fortune-hunters quit top posts to hedge their bets", <u>Scotland on Sunday</u> , October 22, 2000, pg. B13 |
| Examiner Signature | /Michael Zecher/ | |
| Date Considered | 01/22/2007 | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.

